

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number 10/683,769

Filing Date October 10, 2003

First Named Inventor Shuichi Otsuka

Art Unit 3745

Examiner Name TBA

Total Number of Pages in This Submission

5

Attorney Docket Number 051319-0090

**ENCLOSURES (Check all that apply)**☐ Fee Transmittal Form☐ Fee Attached☐ Amendment/Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/  
Incomplete Application☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ After Allowance communication  
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of Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please  
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**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual nameMalcolm J. Duncan, Esq., Reg. No. 50,651  
Schulte Roth & Zabel, LLP

Signature



Date

January 21, 2005

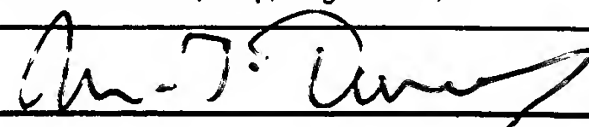
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appl. No. : 10/683,769  
Applicant : Shuichi Otsuka  
Filed : October 10, 2003  
TC/A.U. : 3745  
Examiner : TBA  
Title : AXIAL FLOW FAN

Confirmation No. 1583

Docket No. : 051319-0090  
Customer No. : 29619

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56 and in conformance with the procedures of 37 C.F.R. §§ 1.97 and 1.98 and M.P.E.P. § 609, attorneys for the Applicant hereby cite 6 referenced documents which are listed on the attached modified PTO Forms No. PTO/SB/08A and PTO/SB/08B to the attention of the Examiner. It is respectfully requested that the information be expressly considered during the prosecution of this

9800230.1

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Name: Malcolm Duncan, Esq. Reg. No. 50,651

Signature: *M. J. Duncan*

Dated: January 21, 2005

application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

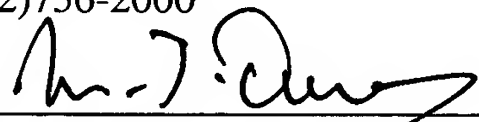
This information disclosure statement is being filed under 37 C.F.R. § 1.97(b)(3) before the mailing of a first Office Action on the merits.

It is respectfully requested that the references be fully considered by the U.S. Patent and Trademark Office during the examination of this application and printed on any patent which may issue on this application. Applicant requests that a copy of Form PTO/SB/08A and PTO/SB/08B, as considered and initialed by the Examiner, be returned with the next communication.

No fee is believed due, however, if a fee is due the Commissioner of Patents is hereby authorized to charge any fee or credit any overpayments that may be necessary to Deposit Account No. 50-0675 of Schulte Roth & Zabel LLP, Order No. 051319-0090.

Respectfully submitted,

Schulte Roth & Zabel LLP  
Attorneys for Applicant  
919 Third Avenue  
New York, NY 10022  
(212)756-2000

By   
Malcolm J. Duncan, Esq.  
Reg. No. 50,651

Dated: January 21, 2005  
New York, New York

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Substitute for form 1449/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	2
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**Complete if Known**

Application Number	10/683,769
Filing Date	October 10, 2003
First Named Inventor	Shuichi Otsuka
Art Unit	3745
Examiner Name	Sharon Latimer
Attorney Docket Number	051319-0090

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	4	GB 2 181 183 A	04/15/1987	Hunter Int. Ltd		
	5	JP 10 205497	08/04/1998	Zexel Corp.		✓

**Examiner  
Signature**

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/683,769
				Filing Date	October 10, 2003
				First Named Inventor	Shuichi Otsuka
				Art Unit	3745
				Examiner Name	Sharon Latimer
Sheet	2	of	2	Attorney Docket Number	051319-0090

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	6	EP search report Application No. EP 03 25 6409 dated November 25, 2004.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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